

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Erik Riedel, et al.

Confirmation No.:

Application No.: unassigned

Examiner: unassigned

Filing Date: October 5, 2001

Group Art Unit:

Title: Secure File Access Control via Directory Encryption

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a petition under 37 CFR 1.97(d)(2), and
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. **EL663156204US**

Date of Deposit **October 5, 2001**

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By

Jennifer Adams
Typed Name: Jennifer Adams

Respectfully submitted,

Erik Riedel, et al.

By

Derek J. Westberg
Derek J. Westberg

Attorney/Agent for Applicant(s)

Reg. No. **40,872**

Date: **October 5, 2001**

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10014506-1

SERIAL NO.

APPLICANT

Erik Riedel et. al

FILING DATE

October 5, 2001

GROUP

jc997 U.S. PTO
09/972385

10/05/01

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS |
|---------------------|----|--------------------|------|------|-------|--------------|
| | 1A | | | | | |
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FOREIGN PATENT DOCUMENTS

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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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| 1Q | H. Gobioff, G. Gibson, and D. Tygar. Security for network attached storage devices. "Technical report," CMU-CS-97-185, October 23 1997. |
| 1R | D. Mazieres, M. Kaminsky, M. Kaashoek, and E. Witchel. Separating key management from file system security. "SOSP", December 1999. |
| 1S | M. Satyanarayana. Scalable, secure, and highly available distributed file access. "ACM Computer," May 1990. |

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| 1Q | P. Reiher, J. Cook, S. Crocker. Truffles - A secure service for widespread file sharing. "PSRG Workshop on Network and Distributed System Security," 1993. |
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| 1S | M. Blaze. A cryptographic file system for UNIX. "Proceedings of 1st ACM Conference on Communications and Computing Security," 1993. |

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| 1Q | E. Zadok, I. Badulescu and A. Shender. Cryptfs: A stackable vnode level encryption file system. "Technical Report CUCS-021-98," 1998. |
| 1R | G. Cattaneo, G. Persiano, A. Del Sorbo, A. Cozzolino, E. Mauriello and R. Pisapia. Design and implementation of a transparent cryptographic file system for UNIX. "Technical Report, University of Salerno," 1997. |
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